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| FORM PTO-1390 (REV. 01-2003) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER MAT-8573US | |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/500529 | |
| INTERNATIONAL APPLICATION NO. PCT/JP2003/14351 | | INTERNATIONAL FILING DATE 12 November 2003 (12.11.03) | | PRIORITY DATE CLAIMED 13 November 2002 (13.11.02) | |
| TITLE OF INVENTION OPTICAL COMMUNICATIONS MODULE AND SUBSTRATE FOR THE SAME | | | | | |
| APPLICANT(S) FOR DO/EO/US Nobuo SASHINAKA; Kazunari NISHIHARA; Tetsuya TSURUNARI; Naoki YUDA | | | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | | | |
| 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An <input checked="" type="checkbox"/> executed/ <input type="checkbox"/> unexecuted oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | | | | |
| Items 11 to 20 below concern documents(s) or information included: | | | | | |
| 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98. 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825. 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information: Certificate of Express Mail | | | | | |

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| U.S. APPLICATION NO. (37 CFR 1.53) 10/500529 | | INTERNATIONAL APPLICATION NO. PCT/JP2003/014351 | | ATTORNEY DOCKET NUMBER MAT-8573US | |
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| 21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a)(1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1080.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$920.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$770.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33 (1)-(4) \$730.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33 (1)-(4) \$100.00 | | | | CALCULATIONS PTO USE ONLY ENTER APPROPRIATE BASIC FEE AMOUNT = \$ 920.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | |
| CLAIMS | NUMBER FILED | EXTRA NUMBER | RATE | | |
| Total claims | 31 - 20 = | 11 | X \$18.00 | \$ 198.00 | |
| Independent claims | 2 - 3 = | 0 | X \$86.00 | \$ | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$290.00 | \$ | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 1118.00 | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ | |
| SUBTOTAL = | | | | \$ | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ | |
| TOTAL NATIONAL FEE = | | | | \$ 1118.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | | \$ 40.00 | |
| TOTAL FEES ENCLOSED = | | | | \$ 1158.00 | |
| | | | | Amount to be refunded: | \$ |
| | | | | Charged: | \$ |

a. ☒ Two checks totaling the amount of **\$1158** to cover the above fees is enclosed.

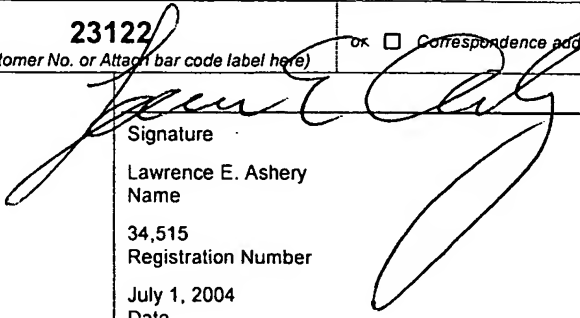
b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. **18-0350**. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-
2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37
CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

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|-----------------------------------------------------------------------|------------------------------------------------------------------------------------|-------------------------------------------------------|
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label | 23122 <small>(Insert Customer No. or Attach bar code label here)</small> | <input type="checkbox"/> Correspondence address below |
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| Send All Correspondence to: <input checked="" type="checkbox"/> RatnerPrestia P.O. Box 980 Valley Forge, PA 19482 OR <input type="checkbox"/> RatnerPrestia Nemours Building 1007 Orange Street Suite 1100 P.O. Box 1596 Wilmington, DE 19899 | |  Signature Lawrence E. Ashery Name 34,515 Registration Number July 1, 2004 Date |
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CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): N. Sashinaka et al.

Docket No.

MAT-8573US

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| Serial No. To Be Assigned | Filing Date Herewith | Examiner | Group Art Unit |
|------------------------------|-------------------------|----------|----------------|

Invention: OPTICAL COMMUNICATIONS MODULE AND SUBSTRATE FOR THE SAME

I hereby certify that the following correspondence:

PCT National Stage Application with PTO-1390 and its enclosures

(Identify type of correspondence)

Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to:
Mail Stop PCT,
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450
on July 1, 2004

Kathleen Libby

(Typed or Printed Name of Person Mailing Correspondence)

Kathleen Libby

(Signature of Person Mailing Correspondence)

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